

PATENT Attorney Docket No.: K35A1302

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:) Group Art Unit: 2187				
RALPH H. CASTRO et al.) Examiner: Peugh, Brian R.	RECEIVED CENTRAL FAX CENTER			
Application No.: 10/627,512)				
Filed: September 25, 2003		OCT 2 2 2003			
For: RANGE-BASED CACHE CONTROL)	A THAT			
SYSTEM AND METHOD)	V2			
)				

DECLARATION OF RALPH H. CASTRO SWEARING BEHIND REFERENCE (37 CFR § 1.131)

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Dear Sir:

- I, Ralph H. Castro, hereby declare as follows:
- 1. I am a joint inventor in parent application number 09/552,399 (the "Parent Application"), now patent number 6,601,137, and I am a joint inventor in this continuation application number 10/627,512 (the "Continuation Application") which claims priority to the Parent Application. I am making this declaration to establish facts showing that the invention claimed in this Continuation Application was reduced to practice before January 25, 2000, which I am informed is the issue date of U.S. Patent Number 6,018,789 to Sokolov et al. (the "Sokolov '789 patent"). I will hereinafter refer to January 25, 2000 as the "Effective Date" of the Sokolov '789 patent.

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In re Application of: RALPH H. CASTRO et al. Application No.: 10/627,512 Filed: July 25, 2003

Page 2

PATENT Docket No.: K35A1302

- 2. I was employed by the original assignee, Western Digital Corporation ("WDC") at WDC's Irvine facility in the State of California, during the time between my conception of the invention recited in claims 1-6, 9-14 and 17-22, which claims are being pursued in this Continuation Application, and the filing of the Parent Application.
- 3. I have read claims 1-6, 9-14 and 17-22 and have a technical understanding of how such claims relate to the disclosure of the Parent Application and this Continuation Application.
- 4. I helped develop and reduce to practice, in the United States of America, a hard disk drive having an integrated circuit to which claims 1-6, 9-14 and 17-22 apply prior to the Effective Date of the Sokolov '789 patent. This particular disk drive was called "Rebel" during its development. The Rebel disk drive, as reduced to practice, included a cache memory and a cache control system that implemented a cache method for servicing host commands. The cache memory had a plurality of memory clusters for caching disk data of disk sectors identified by logical block addresses. The cache control system had a tag memory and a scan engine. The tag memory had a plurality of tag records. Each tag record defined a variable length segment of the memory clusters for eaching disk data for a range of logical block addresses and indicated the range of logical block addresses. The scan engine was only usable for scanning the tag records. The scan engine included means for receiving a range of logical block addresses associated with a host command, means for reading the ranges of logical block addresses defined by the tag records, means for comparing the range of logical block addresses associated with the host command with the ranges of logical block addresses indicated in the tag records, and means for providing scan results, based on a comparison by the means for comparing, indicating overlap between the logical block address range associated with the host command and the ranges of logical block addresses indicated in the tag records. The means for comparing further determined whether a first logical block address of a range of logical block addresses associated with a host command was within the ranges of logical block addresses indicated in the tag

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RALPH H. CASTRO et al.
Application No.: 10/627,512

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Page 3

PATENT Docket No.: K35A1302

memory records. The means for providing scan results indicated the tag records, determined by the means for comparing, having a range including the first logical block address. The means for providing scan results indicated whether an entire logical block address range, a portion of the logical block address range associated with a host command is within the ranges of logical block addresses in the tag memory records. The means for providing scan results also indicated whether the logical block address range associated with a host command is within a range of the ranges of logical block addresses in the tag records such that a start logical block address for the host command is greater than a start logical block address for the overlapping tag record range, or whether only a portion of the logical block addresses in the tag memory records. Further, the means for providing scan results indicated whether the portion of the logical block addresses range associated with a host command that is within a range of the ranges of logical block addresses in the tag memory records. Further, the means for providing scan results indicated whether the portion of the logical block address range associated with a host command that is within a range of the ranges of logical block addresses in the tag records included the beginning or the end of the logical address range associated with the host command.

- 5. Attached hereto as Exhibit "A" is an assembly tree of a Rebel disk drive. The Rebel disk drive included an ASSEMBLY PCB 61-600840-XXX (see arrow). The assembly tree is dated before the Effective Date of the Sokolov '789 patent (see revision dates in the upper right hand corner).
- 6. Attached hereto as Exhibit "B" is a Bill of Materials Report for an ASSEMBLY PCB 61-600840-001, which includes an integrated circuit: IC WD70C10SW/I285S (see arrow on page 2).
- 7. Attached hereto as Exhibit "C" are a Title page (page 1) and a select portion of a Table of Contents (pages 8-10) of a Device Specification for the integrated circuit IC WD70C10SW/I285S. The integrated circuit includes the cache control system (see arrow pointing to heading 10 on page 8) and the tag memory (see arrow pointing to heading 11 on page

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In re Application of: RALPH H. CASTRO et al. Application No.: 10/627,512 Filed: July 25, 2003

Page 4

9) that enable the Rebel disk drive to implement the cache method. The Device Specification is dated before the Effective Date of the Sokolov '789 patent.

- 9. This declaration factually establishes that the claimed invention was reduced to practice in the United States before the Effective Date of the Sokolov '789 patent.
- 10. I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements are made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under § 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the Application and any patent issuing thereon.

Date: September 13, 2003

Arizona

(city)

Ralph H. Castro

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: RALPH H. CASTRO et al.) Group Art Unit: 2187	Bron.
Application No.: 10/627,512) Examiner: Peugh, Brian R.	RECEIVED CENTRAL FAX CENTER
Filed: September 25, 2003))	OCT 2 2 2003
For: RANGE-BASED CACHE CONTROL SYSTEM AND METHOD)))	
)	

DECLARATION OF TSUN Y. NG SWEARING BEHIND REFERENCE (37 CFR § 1.131)

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Dear Sir:

I, Tsun Y. Ng, hereby declare as follows:

1. I am a joint inventor in parent application number 09/552,399 (the "Parent Application"), now patent number 6,601,137, and I am a joint inventor in this continuation application number 10/627,512 (the "Continuation Application") which claims priority to the Parent Application. I am making this declaration to establish facts showing that the invention claimed in this Continuation Application was reduced to practice before January 25, 2000, which I am informed is the issue date of U.S. Patent Number 6,018,789 to Sokolov et al. (the "Sokolov '789 patent"). I will hereinafter refer to January 25, 2000 as the "Effective Date" of the Sokolov '789 patent.

In re Application of:

Filed: July 25, 2003

Page 2

RALPH H. CASTRO et al. Docket No.: K35A1302 Application No.: 10/627,512

- 2. I was employed by the original assignee, Western Digital Corporation ("WDC") at WDC's Irvine facility in the State of California, during the time between my conception of the invention recited in claims 1-6, 9-14 and 17-22, which claims are being pursued in this Continuation Application, and the filing of the Parent Application.
- 3. I have read claims 1-6, 9-14 and 17-22 and have a technical understanding of how such claims relate to the disclosure of the Parent Application and this Continuation Application.
- 4. I helped develop and reduce to practice, in the United States of America, a hard disk drive having an integrated circuit to which claims 1-6, 9-14 and 17-22 apply prior to the Effective Date of the Sokolov '789 patent. This particular disk drive was called "Rebel" during its development. The Rebel disk drive, as reduced to practice, included a cache memory and a cache control system that implemented a cache method for servicing host commands. The cache memory had a plurality of memory clusters for caching disk data of disk sectors identified by logical block addresses. The cache control system had a tag memory and a scan engine. The tag memory had a plurality of tag records. Each tag record defined a variable length segment of the memory clusters for caching disk data for a range of logical block addresses and indicated the range of logical block addresses. The scan engine was only usable for scanning the tag records. The scan engine included means for receiving a range of logical block addresses associated with a host command, means for reading the ranges of logical block addresses defined by the tag records, means for comparing the range of logical block addresses associated with the host command with the ranges of logical block addresses indicated in the tag records, and means for providing scan results, based on a comparison by the means for comparing, indicating overlap between the logical block address range associated with the host command and the ranges of logical block addresses indicated in the tag records. The means for comparing further determined whether a first logical block address of a range of logical block addresses associated with a host command was within the ranges of logical block addresses indicated in the tag

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- 5. Attached hereto as Exhibit "A" is an assembly tree of a Rebel disk drive. The Rebel disk drive included an ASSEMBLY PCB 61-600840-XXX (see arrow). The assembly tree is dated before the Effective Date of the Sokolov '789 patent (see revision dates in the upper right hand corner).
- 6. Attached hereto as Exhibit "B" is a Bill of Materials Report for an ASSEMBLY PCB 61-600840-001, which includes an integrated circuit: IC WD70C10SW/I285S (see arrow on page 2).
- 7. Attached hereto as Exhibit "C" are a Title page (page 1) and a select portion of a Table of Contents (pages 8-10) of a Device Specification for the integrated circuit IC WD70C10SW/I285S. The integrated circuit includes the cache control system (see arrow pointing to heading 10 on page 8) and the tag memory (see arrow pointing to heading 11 on page

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Page 4

9) that enable the Rebel disk drive to implement the cache method. The Device Specification is dated before the Effective Date of the Sokolov '789 patent.

- 9. This declaration factually establishes that the claimed invention was reduced to practice in the United States before the Effective Date of the Sokolov '789 patent.
- 10. I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements are made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under § 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the Application and any patent issuing thereon.

Date: September 15, 2003

ORMGE, California (city)

Tsun Y. Ng

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: RALPH H. CASTRO et al.) Group Art Unit: 2187	RECEIVED			
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SYSTEM AND METHOD	ĺ	\$ \frac{5}{2} \tau = 4 \cdot \frac{5}{2} \tau = 4 \cdot \frac{5}{2} \tau = 4 \cdot \frac{1}{2}			
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DECLARATION OF VIRGIL V. WILKINS SWEARING BEHIND REFERENCE (37 CFR § 1.131)

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Dear Sir:

- I. Virgil V. Wilkins, hereby declare as follows:
- 1. I am a joint inventor in parent application number 09/552,399 (the "Parent Application"), now patent number 6,601,137, and I am a joint inventor in this continuation application number 10/627,512 (the "Continuation Application") which claims priority to the Parent Application. I am making this declaration to establish facts showing that the invention claimed in this Continuation Application was reduced to practice before January 25, 2000, which I am informed is the issue date of U.S. Patent Number 6,018,789 to Sokolov et al. (the "Sokolov '789 patent"). I will hereinafter refer to January 25, 2000 as the "Effective Date" of the Sokolov '789 patent.

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In re Application of: RALPH H. CASTRO et al. Application No.: 10/627,512

Filed: July 25, 2003

Page 2

PATENT Docket N .: K35A1302

- 2. I was employed by the original assignce, Western Digital Corporation ("WDC") at WDC's Irvine facility in the State of California, during the time between my conception of the invention recited in claims 1-6, 9-14 and 17-22, which claims are being pursued in this Continuation Application, and the filing of the Parent Application.
- 3. I have read claims 1-6, 9-14 and 17-22 and have a technical understanding of how such claims relate to the disclosure of the Parent Application and this Continuation Application.
- 4. I helped develop and reduce to practice, in the United States of America, a hard disk drive having an integrated circuit to which claims 1-6, 9-14 and 17-22 apply prior to the Effective Date of the Sokolov '789 patent. This particular disk drive was called "Rebel" during its development. The Rebel disk drive, as reduced to practice, included a cache memory and a cache control system that implemented a cache method for servicing host commands. The cache memory had a plurality of memory clusters for caching disk data of disk sectors identified by logical block addresses. The cache control system had a tag memory and a scan engine. The tag memory had a plurality of tag records. Each tag record defined a variable length segment of the memory clusters for caching disk data for a range of logical block addresses and indicated the range of logical block addresses. The scan engine was only usable for scanning the tag records. The scan engine included means for receiving a range of logical block addresses associated with a host command, means for reading the ranges of logical block addresses defined by the tag records, means for comparing the range of logical block addresses associated with the host command with the ranges of logical block addresses indicated in the tag records, and means for providing scan results, based on a comparison by the means for comparing, indicating overlap between the logical block address range associated with the host command and the ranges of logical block addresses indicated in the tag records. The means for comparing further determined whether a first logical block address of a range of logical block addresses associated with a host command was within the ranges of logical block addresses indicated in the tag memory records.

In re Application of: RALPH H. CASTRO et al. Application No.: 10/627,512

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Page 3

PATENT Docket No.: K35A1302

The means for providing scan results indicated the tag records, determined by the means for comparing, having a range including the first logical block address. The means for providing scan results indicated whether an entire logical block address range, a portion of the logical block address range, or none of the logical block address range associated with a host command is within the ranges of logical block addresses in the tag memory records. The means for providing scan results also indicated whether the logical block address range associated with a host command is within a range of the ranges of logical block addresses in the tag records such that a start logical block address for the host command is greater than a start logical block address for the overlapping tag record range, or whether only a portion of the logical block address range associated with a host command is within a range of the ranges of logical block addresses in the tag memory records. Further, the means for providing scan results indicated whether the portion of the logical block address range associated with a host command that is within a range of the ranges of logical block addresses in the tag records included the beginning or the end of the logical address range associated with the host command.

- 5. Attached hereto as Exhibit "A" is an assembly tree of a Rebel disk drive. The Rebel disk drive included an ASSEMBLY PCB 61-600840-XXX (see arrow). The assembly tree is dated before the Effective Date of the Sokolov '789 patent (see revision dates in the upper right hand corner).
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In re Application f.

RALPH H. CASTRO et al. Application No.: 10/627,512

Filed: July 25, 2003

Page 4

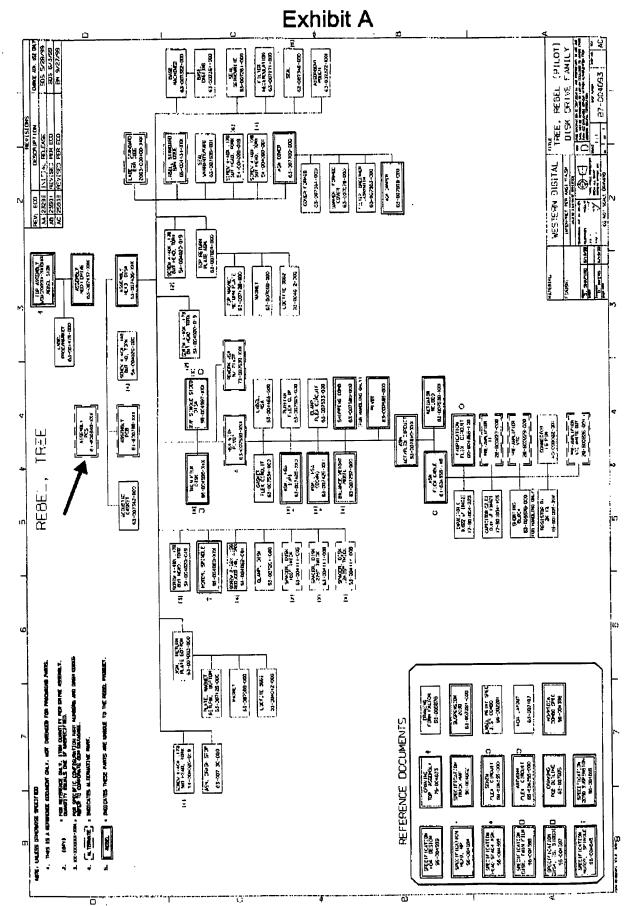
PATENT Docket No.: K35A1302

- 9) that enable the Rebel disk drive to implement the cache method. The Device Specification is dated before the Effective Date of the Sokolov '789 patent.
- 9. This declaration factually establishes that the claimed invention was reduced to practice in the United States before the Effective Date of the Sokolov '789 patent.
- 10. I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements are made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under § 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the Application and any patent issuing thereon. Market Williams

Date: October 2003

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BOM Search Results

Exhibit B

Page 1 of 3

WD Bill of Materials Report (Web)

Rep rt Dat : Sat, 15 Mar 2003 00:37:33 GMT

Item: 61-600840-001 Desc: PCBA, REBEL ENTEK FLASH

Rev: E as f 15-MAR-2003 00:37:34 GMT

Org ID:WDC

Seq	Item Number	Description	Rev	Qty	Ref Des
1	60-600840-000	PCB ENTEK REBEL / REBEL 2	A	1	
	60-600840-400	PCB, REBEL / REBEL 2 ENTEK 4UP PANEL		i	
	60-60084D-X00	PCB, REBEL / REBEL 2 ENTEK CROSSOUT PANEL		1	
3	15-600003-000	RES CM 0.0 OHM 1/10W 0805	A	1	R22
4	15-600004-00D	RES CM 0.0 OHM 1/16W 0603	A	4	R34 R38 R41 R57
8	<u>15-600004-345</u>	RES CM 10 OHM 5% 1/16W 0603	A	1	R21
10	<u>15-601004</u> - <u>263</u>	RES CM 80.6 OHM 1% 1/16W 0603	Α	2	R12 R13
12	15-600004-357	RES CM 33 OHM 5% 1/16W 0603	A	3	R17 R39 R46
15	15-600004-363	RES CM 56 OHM 5% 1/16W 0603	A	2	R20 R37
17	15-600004-369	RES CM 100 OHM 5% 1/16W 0603	A	7	R23 R29 R3 R30 R35 R4 R40
18	15-600004-376	RES CM 200 OHM 5% 1/16W 0603	A	6	R10 R15 R16 R26 R31 R33
19	15-600004-385	RES CM 470 OHM 5% 1/16W 0603	A	2	R18 R43
20	15-600004-393	RES CM 1.0K 5% 1/16W 0603	A	2	R47 R48
23	15-600004-400	RES CM 2.0K 5% 1/16W 0603	A	3	R49 R50 R51
24	15-600004-417	RES CM 10K 5% 1/16W 0603	A	7	R1 R14 R25 R36 R45 R69 R9
26	15-600004-441	RES CM 100K 5% 1/16W 0603	Α	1	R2
29	15-600004-449	RES CM 220K 5% 1/16W 0603	A	2	R5 R70
31	15-600004-489	RES CM 10M 5% 1/16W 0603	A	1	R65
33	15-601001-757	RES CM 1.50 OHM 1% 1/4W 1206	A	2	R67 R68
34	<u> 15-601004-301</u>	RES CM 200 OHM 1% 1/16W 0603	A	1	R19
35	15-601004-416	RES CM 3.16K 1% 1/16W 0603	A	1	R64
36	<u>15-601004-423</u>	RES CM 3.74K 1% 1/16W 0603	A	1	R62
37	15-601004-431	RES CM 4.53K 1% 1/16W 0603	A	1	R11
39	15-601004-464	RES CM 10.0K 1% 1/16W 0603	A	1	R55
42	15-601004-560	RES CM 100K 1% 1/16W 0603	, A	i	R58
43	15-601004-625	RES CM 475K 1% 1/16W 0603	A	1	R56
45	17-601002-333	CAP CER .033UF 10% X7R 0805	A	1	C49
49	17-600003-101	CAP CER 100PF 5% NPO 50V 0603	A	4	C16 C17 C30

BOM Search Results

Page 2 of 3

		•			C51
50	17-600003-150	CAP CER 15PF 5% NPO 50V 0603	Α	2	C29 C40
51	17-600003-181	CAP CER 180PF 5% NPO 50V 0603	A	1	C43
52	17-600003-221	CAP CER 220pf 5% NPO 0603	A	1	C63
53	17-600003-391	CAP CÉR 390pF 5% NPO 25V 0603	A	2	C32 C33
55	17-601003-104	CAP CER 0.1UF 10% X7R 16V 0603	A	1	C62
57	17-601003-332	CAP CER 3300PF 10% X7R 50V 0603	A	10	C11 C15 C19 C21 C27 C28 C34 C39 C4 C6
58	<u>17-601003-154</u>	CAP CER 0.15UF X7R 10% 10V 0603	A	1	C9
59	<u>17-602003</u> - <u>104</u>	CAP CER 0.1UF +80-20% Y5V 25V 0603	A	19	C1 C12 C14 C18 C2 C20 C22 C3 C37 C41 C42 C44 C45 C46 C50 C56 C58 C60 C8
60	<u>17-603006-105</u>	CAP CER 1.0UF X7R 20% 16V 1206	A	2	C31 C35
61	19-600000-194	CAP TANT 10UF 20% 10V (A)	A	1	C57
62	19-600000-193	CAP TANT 4.7UF 20% 10V (A)	A	1	C5
63	19-600000-195	CAP TANT 22uF 20% 10V (B)	A	1	C47
69	19-602000-160	CAP TANT 1.0UF 20% 35V (B)	D	1	C52
70	19-602000-167	CAP TANT 15uf 20% 35V (D)	A	1	C48
72	27-600099-000	IC FLASH 64K*16 35NS 44PLCC	A	1	U2
	43-600065-001	SCKT IC 44PLCC W/O KEY .185H MAX		1	
75	<u>27-601123</u> - <u>000</u>	IC SDRAM 1M*16-10 SYNC 50TSOP	A	1	U4
77	<u> 28-601018-000</u>	IC LM1117B 3.3V 1.2A 2% REG DPAK	A	1	U6
78	28-601012-000	IC 78M08 8V 2% REG D-PAK	A	1	Ų7
80	29-600506-000	IC L6262 R2.4 ORCA 44TQFP	A	1	U5
	29-600528-000	IC L6262 R2.6 ORCA 44TQFP		1	
82	<u>29-600507-000</u>	IC CLSH3367 R=B2 RIGEL II 100MQFP	A	1	U3
	2029-001003-000	IC CLSH3367 R=B3 RIGEL II DPH 100MQFP		1	
	<u>29-600508</u> - <u>000</u>	IC CLSH3367DH-B2 RIGEL-2 100MQFP		1	
84	<u>29-601226-000</u>	IC WD70C105W/I285S R=3.0 176TQFP	A	1	U1
86	<u>31-600043</u> -000	DIODE SS14 SHKTY 1A 40V D0214M	В		D3
88	32-600051-000	DIODE TVS SMB12A 12V DO214AA	A		D2
89	<u>32-600052-000</u>	DIODE TVS SMBJ5.0 5V DO214AA	A		D1
90	<u>33-600032</u> - <u>000</u>	RESN CER 25MHZ 0.3% 3T 373113	С	1	Y1

Page 3 of 3

BOM Search Results

92	39-600091-000	IND FERRITE BEAD POWER 1206	В	5	L1 L4	L2 L5	L3
93	41-001321-003	CONN PPHDR 16P2R ST HI-TEMP .045 TAIL	I	1	31		
94	42-000019-000	CONN JMPR 2P 6mmX2.54mm CTR WHT	ОВ	1	J8 (1- 2)		
	42-000018-002	CONN JMPR 2P1R .1CT ST HDL WHT		1			
<u>95</u>	<u>63-006364</u> -000	CONTACT SPRING	В	4	J11 J14	J12	113
96	41-600042-000	CONN CENTURY 54P COMBO SMTMULT	F	1	J2	13	J8
100	63-001303-000	LABEL BLANK 0.25 X 1.25 INCH	С	1			
101	<u>96-001875</u>	PCBA BARCODE PRINT SPEC.	EA	0			
105	<u>65-600840-000</u>	ARTWORK, REBEL / REBEL 2 ENTEK	A	0			
106	<u>61-600840</u>	PCBA, REBEL ENTEK DWG	A	0			
107	68-600840-000	SCHEMATIC, REBEL ENTEK	В	0			

This page took 6.301 seconds to process.

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Exhibit C

WD70C10 Device Specification

PROJECT LEAD MGR CONTROLLER DEV WD70C10 **Device Specification** [285s x 3.0 A WDC 23672 Initial Release DATE DESCRIPTION WESTERN DIGITAL CORPORATION WD70C10 **DEVICE SPECIFICATION DOCUMENT NUMBER** 96-107010-003

98-107010-003 Rev. A June 1, 1999 5:23 pm

Page 1 of 424

This information to confidential and proprietary to WDC and shall not be reproduced or further disclosed to anyone other than WDC ampleyees without written authorization from WESTERN DIGITAL Corporation.

WD70C10 Device Specification

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	9.6.3			
	9.6.4			
	9.6.5			
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	9. <u>7.6</u>			
	9.8			
	9.9			171
	9.10			•••
	9.11		**********	
	9.12			
	9.13			
	9.13.1		••••••	
	9.13.2			
	9.13.3			
	9.13.4		•••••••	
	9.13.5			
\	9.13.6			
	9.13.7		*******	
•	9.14			
10.0	Performa	nos IDE Cache		185
	10.1 Cor	nmand Decoder Function Description	*********	185
	10.2 Cor	nmand FIFO and Read Miss Queue logic		. 186
	1021	Function description		. 180
	1022	Access of the CMD FIFO and Read Miss Queue Register		. 1 0 /
	10.2.3	Command FIFO Registers Accessed by Microprocessor		. 187
	1024	Command FIFO Registers Accessed by HWCS		, נסט
	10.3 CC	B SRAM logic		. 190
	1031	Function desoration		. 190
	10.3.2	CCR SRAM Registers Accessed by microprocessor		. 190
	10.3.3	CCB SRAM Registers Accessed by HWCS		. 191
	10.4 Fre	e CCB List logic		. 192
	10.4.1	Function description		. 192

1 96-107010-003 Rev. A June 1, 1999 5:23 pm

Page 8 of 424

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WD70C10 Device Specification

	10	3
10.4.2 Free CCB List Registers Access	d by Microprocessor:19	id M
45.45 Francisco Dist Devictore Access	AC DV HVVC3	/- -
	1	74
46 E. J. MBITT BUIDION Diggram		Ų
AC CO. LIDUI DI Docistore		7.
Joe a LUNCE Command register (W @	DCh)	72
10 E 4 LIMOS I DI L'edictor (M @ 00h)	18	30
AACE LINGS MRI Legaleter (W. @ OEh)	12	7 0
40 F 6 LINICO Status registers (R @ 00)	h. Ofh)	90
40 5 7 Mero Command register (W @ 1	1A58b)	9 (
40 5 0 Misso I DII register (W @ 145A)	17	90
40 5 0 Milara MDU register (W @ 1A5C	h)	90
L 40 E 10 Mioro Status register (R @ 1A5	Eh)	90
	\ 7 0 L \	99
10.5.12 Micro Read register (R @ 1A00	0- 1A3Eh)1	98 04
		-
11 1 TAG DAM Entry Address Assignmen		.01
11.2 MOTAG Entry Format		.UZ
11 2 SRTAG Entry format	· · · · · · · · · · · · · · · · · · ·	.VO
44 4 The entry control state (control field (definition)	:04
infigh high glob) atota atota atota figid defini	tion)	:04
11 & TAC Diagram		
11 7 TAGRAM DIAGRAM		.00
44 0 More Degletore		207
14 6 1 Miara halding registers. R/W by	∕ Micro, addr 1b0a-1b00	207
44 0 0 Mars Command register Zern	r/w by micro @ 180Ch	4UD
11.0.0 Misso Command register ODE. I	r/w by Micro @ 1B0Eh	
44 0 4 Mism ! DA registers r/w by mic	FO	
44 0 E. Minne I DA count register r/W M	v micro	203
ra e e falles. Dit man requit registate	P hv micro	EŲU.
44 8 7 Minm Rit-man regult overview i	register	210
44 0 0 Mioro Popult register read tw N	/icro @ 1824h	410
44 8 0 Mison HWCS Ritumen result rai	nisters. R by Micro	~ • • •
44 0 40 Minn LINACE RH-man recult o	werview register. R by Micro 😉 1532	212
44 o 44 Micro HWCS Decut register.	read by Micro 62 1B34h	Z Z
44 B 40 MD (CD E-AA TAG AAUNI FAGISI	er read by Micro @ 1836h	C C
44 0 40 MD/CD Available TAG count f	onister read by Micro @ 1838h	<u>د ا</u> ب
44 0 44 Erpa/avaliáble TAG threshold	i radistar, radio witte dy ivicto w 193741	
14 D. LIMPS Decisions		217
44 A 4 LINUACE HAIding register RAV h	w HWC8	€ 17
44 A A LINCE Ton Address register (rw by HWCS	213
A A A A I TAKE Commond the by by by	ES	~ U
	FOR DV DVV 255	
11 9 5 HWCS LBA count registers: r/v	w by HWC8	210

| 96-107010-003 Rev. A June 1, 1999 5:23 pm

Page 9 of 424

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WD70C10 Device Specification

	11.9.6 MB/SB Free TAG count register, read by HWCS	210
	TAC count region in HWUS	5 I /
	The state of the self-and the same register, bit 0 years by HWC%, bit 7 is read only	4 <i>1</i>
	The second section A D C road by HWCS	21 /
	The same suppose the man consist of lovel 1 R W HWCS	210
	The second control of the second control of the second sec	~ 10
	A A A A BUNKER BRIMGING POPULATION OF THE PROPERTY OF THE PROP	£ 10
	44 40 TAG Operation	220
	44 40 4 TAG control state machine	ZZV
	44 45 2 TAG SPAM eccess control	220
	TAC DAM read write access and scan	221
	44 46 4 LIMICS TAG DAM read/ write access and scan	222
	44 40 E Diale Vegunt undate	LCL
	a a a a a a a a a a a a a a a a a a a	220
	11.10.7 Command Queue/ Command Fifo Interface	223
	44 44 Proper Patentian	224
	11.11.1 Range detection definition:	224
	11.12 Scan operation:	226
	11.12.1 Scan detection result status	226
	11.12.1 Scan detection result status	227
	11.12.2 Scan (read mode):	227
	11.12.4 Scan (free tag):	228
	11.12.5 Scan (HWCS read mode)	228
	11.12.5 Scan (HWCS read HOGE)	229
12.0	Universal Buffer Manager	229
		230
	1 dan din	230
		233
	1 Germany	234
	1 Ex. 7 / Fo	237
	12.0	237
	i dina tata 1	. 201 238
	12.5.2	
		242
•	12.5.4	
	12.3.3	-
	12.0.0	243
	12.5.7	244
		. 246
	12.0	
	144144499999999999999999999999999999999	
	12.8	<u>८</u> 4/ - ۸
	12.8.1	247

| 96-107010-003 Rev. A June 1, 1989 5:23 pm

Page 10 of 424

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